

PREPARING AND PROCESSING DIRECTIVES

MMSM 381.1-H

Handbook

II-



FOREWORD

This Minerals Management Service (MMS) handbook has been developed to provide procedures for the preparation of MMS directives. Adherence to these procedures will expedite their review and coordination. Questions regarding the instructions in this handbook or in the basic manual (MMSM 381.1) may be directed to the Records Management Section, Office of Administration.


Director

Date: March 14, 1990

TABLE OF CONTENTS

CHAPTER 1. GENERAL INFORMATION		<u>Page</u>
1.	Minerals Management Service Manual (MMSM).....	1-1
	A. Basic Manual.....	1-1
	B. Handbooks.....	1-1
	C. Field Office Supplements (FOS's).....	1-1
	D. Interim Policy Documents (IPD's).....	1-1
2.	Responsibilities	1-1
3.	Classification and Numbering.....	1-1
	A. Basic Manual.....	1-1
	B. Handbooks.....	1-3
	C. Field Office Supplements (FOS's).....	1-3
	D. Interim Policy Documents (IPD's).....	1-4
CHAPTER 2. CONTENT		
1.	Quality of Writing.....	2-1
	A. Planning the Content of Directives.....	2-1
	B. Arranging Material.....	2-2
	C. Appropriate Language.....	2-2
2.	Capitalization, Punctuation, and Related Matters.....	2-3
3.	Table of Contents.....	2-3
4.	Standard Paragraphs.....	2-3
	A. Purpose Paragraph.....	2-4
	B. Objectives Paragraph.....	2-4
	C. Authority Paragraph.....	2-4
	D. Reference Paragraph.....	2-4
	E. Definitions Paragraph.....	2-5
	F. Policy Paragraph.....	2-5
	G. Responsibilities Paragraph.....	2-5
	H. Procedures Paragraph.....	2-5
	I. Reporting Requirements Paragraph.....	2-5
	J. Effective Date Paragraph.....	2-6
	K. Cancellation Date Paragraph.....	2-6
CHAPTER 3. FORMAT		
1.	Basic Manual.....	3-1
	A. Transmittal Sheet.....	3-1
	B. Text.....	3-1
	C. Special Formats.....	3-3
	D. Glossary	3-3
	E. Footnotes.....	3-3
2.	Handbooks.....	3-3
	A. Format.....	3-4
	B. Special Formats.....	3-4
	C. Numbering of Special Formats.....	3-6

D. Footnotes.....	3-6
E. Index.....	3-6
F. Typing Guidelines for Text.....	3-6
3. Field Office Supplements (FOS's).....	3-7
4. Interim Policy Documents (IPD's).....	3-8
A. Paper.....	3-8
B. Identification Line.....	3-8
C. References.....	3-8
D. Margins.....	3-8
E. Signature Line.....	3-8
F. Cancellation.....	3-8
G. Special Formats.....	3-8

Illustrations

Illustration 1 Sample Transmittal Sheet.....	3-9
Illustration 2 Sample Manual Text.....	3-11
Illustration 3 Sample IPD.....	3-13

CHAPTER 4. PROCESSING

1. Proposed MMS Directives.....	4-1
2. Reviewers of Directives.....	4-1
3. Review Standards.....	4-1
4. Clearance, Approval, Reproduction, and Distribution.....	4-1
A. Manual, Handbooks, and Interim Policy Documents (IPD's).....	4-1
B. Field Office Supplements (FOS's).....	4-3

Illustrations

Illustration 1 Formal Clearance Flow Chart for Manual Chapters and Handbooks.....	4-5
Illustration 2 Sample Clearance Record.....	4-7
Illustration 3 Interim Policy Document Flow Chart.....	4-9
Illustration 4 Sample Comments Analysis Sheet.....	4-11

CHAPTER 5. REVISION AND REVALIDATION

1. Revisions to the Manual or Handbook.....	5-1
A. Minor Revisions.....	5-1
B. Major Revisions.....	5-2
2. Field Office Supplements (FOS's).....	5-2
3. Interim Policy Documents (IPD's).....	5-2
4. Coordination and Clearance of Revisions.....	5-2
5. Issuance of Revisions.....	5-2
6. Revalidation.....	5-2

Illustration

Illustration 1 Marking Additions and Revisions.....	5-3
---	-----

CHAPTER 6. MAINTENANCE

1.	Basic Manual.....	6-1
	A. Manual Binders.....	6-1
	B. Filing.....	6-1
2.	Handbooks.....	6-1
3.	Interim Policy Documents (IPD's).....	6-1
4.	Maintaining the MMS Directives System.....	6-1
	A. Table of Contents and Checklist and Index.....	6-1
	B. Background or Historical Files.....	6-2
	C. Master Set of Current Directives.....	6-2
5.	Offices Receiving Directives.....	6-2

CHAPTER 1. GENERAL INFORMATION

1. Minerals Management Service Manual (MMSM). The MMSM consists of the following types of directives which are the only authorized means of transmitting policy and procedures governing MMS activities.

A. Basic Manual is the means by which long-term program and administrative policy and procedures are issued to MMS offices. The basic manual contains essential policies and responsibilities and may contain procedural material. For purposes of this handbook, the basic manual will be referred to as the "manual."

B. Handbooks are an integral part of the directives system and are used for procedural or instructional material which implement basic policy outlined in the manual. Handbooks complement the manual and must be in compliance and be consistent with the policy in the manual. They may also be used to convey delegations of program authorities.

C. Field Office Supplements (FOS's) are issued when it is necessary to provide further instructions and information to enable an office with unique conditions to implement a directive. An FOS may in fact be issued by headquarters as well as field offices.

D. Interim Policy Documents (IPD's) are temporary directives used to establish policy in advance of its incorporation in the manual or to announce temporary procedural changes in either the manual or a particular handbook. All IPD's must have a cancellation date, which may be no longer than 1 year from the date of issuance or until incorporated in either a manual chapter or handbook, whichever is sooner. An IPD may be superseded only once by an IPD.

2. Responsibilities for preparing and processing directives are in MMSM 381.1, Directives Management.

3. Classification and Numbering. The manual, handbooks, and field office supplements are assigned a single numeric system of subject identification, based upon the numbering system used in the Departmental Manual. Sequential numbers are assigned to IPD's as they are issued.

A. Basic Manual. The numeric coding system is structured so that published directives are assigned numbers according to their related subject matter. The broadest subject grouping is a "series" which is subdivided into "parts." Within the parts, separate subject matter material is published as "chapters."

OPR: Records Management Section
Office of Administration

(1) Series. The MMSM is divided into five basic series by subject:

<u>Series Title and Description</u>	<u>Inclusive Part Number</u>
<u>Organization Series</u> contains organization policies and describes the organization of the MMS, including headquarters and field organizations, down to unit or equivalent levels.	100 - 199
<u>Delegation Series</u> contains policies governing delegations and redelegations of authorities.	200
<u>Administrative Series</u> provides policies, standards, and procedures governing administrative activities.	300 - 499
370.275 Personnel and EEO policies are to included in these chapters of the 370.999 Administrative Series. The chapter numbers correspond to the numbering of the Departmental Manual and the Federal Personnel Manual (FPM).	
<u>Program Series</u> contains policies, standards, and procedures governing program activities of the MMS.	500 - 899
500 - 599 <u>General Program</u>	
600 - 699 <u>Offshore Program</u>	
700 - 799 <u>To be Renamed</u>	
800 - 899 <u>Royalty Program</u>	
<u>Reserved</u>	900 - 999

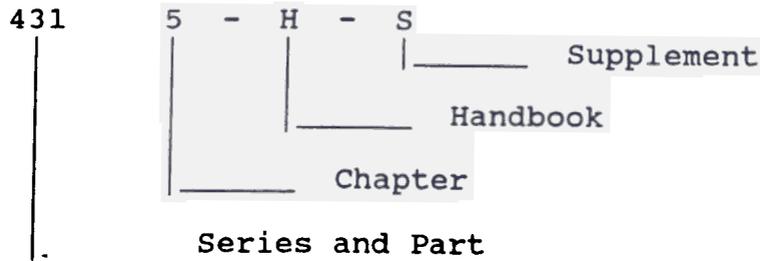
(2) Parts. Each series is divided into subclassifications called parts which organize information into specific subject areas. Parts are designated by the second two digits of the series identifier. For example, in the 300-499 series, which is the Administrative Series, parts could be identified as:

<u>Part</u>	<u>Title</u>
316	Freedom of Information Act
318	<u>Federal Register</u> Documents

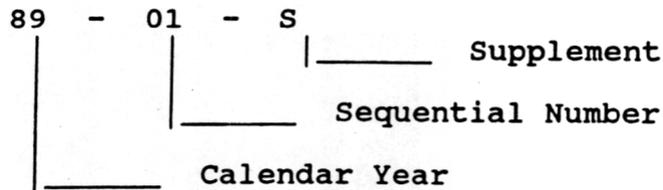
Supersedes Release No. 01

Date: March 14, 1990 (Release No. 167)

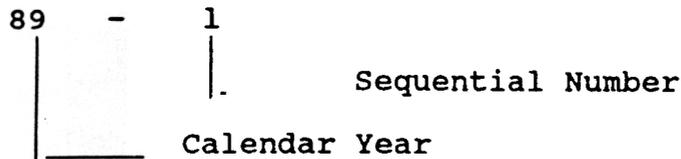
Handbook:



Interim Policy Document:



D. Interim Policy Documents (IPD's) are numbered with a prefix which identifies the calendar year and a sequential number (beginning with 1) indicating the order in which the IPD has been issued during the year. For example:



CHAPTER 2. CONTENT

1. Quality of Writing. Directives should be written with the intended users foremost in mind so that further explanation will not be necessary. A carefully planned and clearly written directive saves reading time and provides easy reference, faster implementation, and simplified rewriting.

A. Planning the Content of Directives. Careful analysis of the purpose and scope of a proposed directive, before writing, is essential for accuracy and clarity of presentation and saves time.

(1) Analyze the Assignment. Determine the scope of the proposed directive, i.e., its objectives and what it will take to achieve them. Consider these points:

(a) What new policies or procedures the directive will establish or what problems it is expected to solve;

(b) Which programs or projects will be affected by the directive;

(c) What kinds of resources will be needed to carry out the proposed procedures: manpower, equipment, funds, etc.;

What reports will be required;

What new deadlines are being imposed;

(f) Where the subject properly fits within the directives system;

(g) What research is needed, including research on previous directives that have been issued on the subject;

(h) Which type of MMS directive should transmit the information and/or instructions, and to which group(s) of employees it should be directed; and

(i) What type of supporting documents should accompany the directive.

(2) Determine the User Group. Depending on the subject matter and objectives, a directive may be used widely throughout MMS or be used by a limited group of employees. Before starting to write a directive, determine who must read and understand the information or instructions to be included. To assure clear communication, aim the presentation at those who know the least about the subject but who must use the directive.

B. Arranging Material. Plan to present your material in a format that will be as easy as possible for the reader to follow. If the information or instructions are detailed or difficult to explain, first organize your material by listing all the points to be covered. Then group related ideas together and make an outline from which to write. Include only what the reader actually needs to know. These general guidelines should be followed:

(1) Arrange procedural material in a sequence that will make sense from the reader's point of view. For example, arrange instructions in the same sequence that the reader will follow in carrying them out.

(2) Cover one subject in one place. For example, cover a subject in one paragraph or one chapter, depending on the scope of the subject.

(3) Use brief descriptive headings for chapters, paragraphs, and subparagraphs.

(4) Use special formats to clarify complex procedures or to illustrate material not suitable for a text. For example, charts, maps, illustrations, forms, or appendixes. See chapter 3 of this handbook for additional instructions.

(5) Use a table of contents to help the reader understand the structure of the document and to assist in the location of specific information.

C. Appropriate Language. The simplest, most easily understandable language will be used in MMS directives. Repetition, padding, and excessive detail should be avoided. Technical or legalistic jargon should not be used.

(1) Giving Explicit Instructions. The reader must know how much discretion is allowed in carrying out instructions. Use of the proper verb form is essential in writing procedures for a directive. Whenever possible, use the second person imperative. (EXAMPLE: "Submit two copies of the report.") In other cases, select from the following list the verb form which denotes the degree to which the instruction is mandatory or permissive.

(a) Will or Must. Imperative command, no discretion (EXAMPLE: "The Division Chief will submit the report no later than December 31.")

(b) Should. Mild command, moral obligation. (EXAMPLE: "Each team member should receive training before participating in a field survey.")

(c) May. Implies discretion. (EXAMPLE: "The Associate Director may wish to comment before forwarding it to the Director.")

(d) Can. Implies discretion, indicates ability to act contingent upon some other event. (EXAMPLE: "The Associate Director can prepare a consolidated estimate based on the best information furnished by the Regional Directors.")

(2) Words, Sentences, and Paragraphs.

(a) Words. For clarity, select words with exact meaning. Use concrete terms. When possible, use those that are familiar to the reader. If it is necessary to use words or terms that the reader might not understand, define them. Use simple words. (EXAMPLE: Rather than "facilitate hastened response," say "provide faster service.") Use the same word for the same meaning; synonyms cause confusion. Use the word "person," "worker," or "individual," or use a title instead of a gender specific pronoun.

(b) Sentences. Keep sentences brief and concise. No longer than 20 words for the average sentence is a good rule. Use simple and direct sentence construction to promote quick reader comprehension. Use the present tense and the active voice whenever possible. Be consistent in the use of verb tenses. When writing instructions, show clearly who does what, when.

(c) Paragraphs. Confine paragraphs to 10 lines or less. Restrict each paragraph to the development of a single thought, and cover related points in adjoining paragraphs.

2. Capitalization, Punctuation, and Related Matters. The rules of the U.S. Government Printing Office Style Manual are followed for capitalizing, punctuating, compounding, spelling, and other principles of good English usage. When relevant rules are not contained therein, any commercially produced publication may be consulted.

3. Table of Contents. The table of contents helps the reader understand the structure of the document and assists in the location of specific information. The table of contents is mandatory for handbooks. The table of contents contains the major subject headings and page numbers.

4. Standard Paragraphs. The paragraphs discussed below are considered standard paragraphs in the MMSM, including IPD's, although not all standard paragraphs are required in every directive. Additional paragraphs are at the option of the OPR and will depend upon the subject matter being covered. Introductory paragraphs which introduce the subject matter of a

chapter 1/ or an IPD are placed first in a directive, followed by paragraphs on responsibilities and procedures. When appropriate, reporting requirements and effective and cancellation dates will be included as separate paragraphs at the end of a directive.

A. Purpose Paragraph. The first paragraph of a directive will always state briefly why the directive is being issued and what it contains. It is a one- or two-sentence summary. (EXAMPLE: "This chapter establishes the policy and prescribes procedures for recording and reporting financial transactions between Minerals Management Service (MMS) and concession contractors and permittees.") The purpose paragraph will be an independent statement; that is, it will contain no references to authorizing or related documents. Handbooks will contain a foreword which explains the purpose for the handbook and identifies the chapter to which it relates.

B. Objectives Paragraph. State the objectives of the policy and procedures covered in the chapter. (EXAMPLE: "The system of accounts is established to ensure uniformity in the accounting records maintained by concession contractors and permittees. Also, it is designed to facilitate the preparation of annual financial reports.") When used, this paragraph will be the second paragraph of the chapter.

C. Authority Paragraph. When the directive being developed implements a Department of the Interior directive, a regulation, Secretary's Order, or other similar document, an authority paragraph will be used. When used, this paragraph will follow the objectives paragraph, if any. The proper order for citing authorities is:

Public Law

United States Code

Executive Order

Code of Federal Regulations

Departmental Manual

Minerals Management Service Manual

D. Reference Paragraph.

(1) This paragraph immediately follows the authority paragraph, if any. References will be used only when the reference is

1/ The words "chapter" and "IPD" are used interchangeably, depending on the type of directive.

absolutely essential to proper understanding of the MMS directive. There must be reasonable assurance, therefore, that all intended recipients of the proposed directive have the reference. Documents identified in the authority paragraph will not be listed as references.

(2) To emphasize a point or to state unequivocally the authority for statements in the directive being developed, the writer should identify the source document and cite the specific portion or portions which pertain. If the writer merely wishes to call attention to a related document, this will be done by identifying the document by number, if any, and title, and, when required, providing a brief summary of the content or purpose of the document. Such citations or notations should be made at the point in the directive where it is most appropriate. References may appear as either footnotes or parts of the text.

E. Definitions Paragraph. Define all words or terms which have technical, special, obscure, or limited meaning. It is preferable to define words within the text. When used, a "Definitions" paragraph immediately follows the reference paragraph, if any. If more than 10 words must be defined, the definitions should be included in an appendix to the basic document. Reference should be made to the appendix in the definitions paragraph. The list of definitions will be titled "Glossary."

F. Policy Paragraph. When the purpose paragraph states that the chapter establishes policy, a policy paragraph must be included. The policy paragraph follows the authority, reference, or definitions paragraph, depending upon which is used.

G. Responsibilities Paragraph. When the purpose paragraph states that the chapter delineates responsibilities, it must contain a paragraph titled "Responsibilities." A responsibility statement is generally necessary to describe the organizational assignments especially if the responsibility for the function is divided in any way. The positions included should be dictated by the nature of the directive.

H. Procedures Paragraph. When the purpose paragraph states that the chapter establishes procedures, it must contain a paragraph titled "Procedures." When procedures exceed four pages, they may be issued separately as a handbook. The procedures paragraph describes the sequence of processing and levels at which certain determinations are made.

I. Reporting Requirements Paragraph. Directives which involve reports or reporting requirements must contain a paragraph describing the reporting requirements. This paragraph is placed at the end of the directive immediately preceding the "Effective Date" paragraph, if used.

J. Effective Date Paragraph. An effective date paragraph is used only when a directive becomes effective subsequent to the approval date. Most MMS directives are normally effective the date they are signed by the approving official. When used, the effective date paragraph is the last paragraph of an MMSM release. In IPD's, it will immediately precede the cancellation paragraph.

K. Cancellation Date Paragraph. This paragraph is used in IPD's, reflected as the last paragraph. See chapter 3, 4F

CHAPTER 3. FORMAT

1. Basic Manual

A. Transmittal Sheet. For each new or revised directive, a Transmittal Sheet (typed on an appropriate Form MMS-2000 or -2001 must be prepared summarizing the directive being transmitted. See Illustration 1 for format. The Transmittal Sheet:

(1) Identifies the series, part, and chapter affected by the release.

(2) Explains the purpose and gives a brief summary of new material.

(3) Shows the signature and title of the authorizing official and gives the effective date if different from date of signature.

(4) Identifies the series, part, and chapter superseded or rescinded and prescribes any administrative actions, such as reports required and effective dates, needed to be taken.

B. Text. Text material should be typed and ready for publication when forwarded to the DO. See outline below and Illustration 2 for detailed instructions.

<u>Administrative Series</u>	Part 381. Origination of Records and Information
<u>Chapter 1 Directives Management</u>	381.1.1
1. <u>Paragraph</u> . (Flush with left margin.)	
A. <u>First Subdivision</u> . (Identified by capital letters.) The capital letter is placed in the fifth space from the left margin.	
(1) <u>Second Subdivision</u> . (Identified by Arabic numerals in parentheses.) The first parenthesis is placed in the ninth space from the left margin.	
(a) <u>Third Subdivision</u> . (Identified by lowercase letters in parentheses.) The first parenthesis is placed in the fourteenth space from the left margin.	
(i) <u>Fourth Subdivision</u> . (Identified by lowercase Roman numerals in parentheses.) The first parenthesis is placed in the nineteenth space from the left margin. Note: The use of the fourth subdivision is rarely justified and indicates a need for restructuring the text.	

(1) Paper. Prepare final copy on Form MMS-2000 or -2000A preprinted paper which may be obtained by contacting the Property Management Branch, Procurement and Property Management Division. See Illustration 2 for format. (The Form MMS-2000A is for use with laser printers.)

(2) Margins. Margins are set at 1 inch on each side. The text of the chapter will begin 12 lines from the top of the preprinted paper and end on the bottom preprinted margin guide, except for the first page. See (6)(a) below.

(3) Typing Font. For uniformity in the MMSM, directives should be in one style and size of type, preferably Courier 10, set at 10-pitch.

Page Headings.

(a) The series identification, part and chapter titles, and reference number will be placed on each page, as in Illustration 2. The format will differ slightly for chapters within the Administrative Series reflecting additions to the FPM, FAR, and FPMR.

(b) Reference numbers assist readers in locating paragraphs. The first three digits of this number designate series and part. The number after the first decimal indicates the chapter. The numbers after the second decimal are the reference numbers which designate the paragraph or subparagraph that continues on that page. The reference number for each page is determined by the part and chapter numbers, to be followed by the paragraph, and, if applicable, the pertinent subparagraph number or letter that continues on each page. When subparagraphs are indicated do not show a decimal between the paragraph and subparagraph indicators. (EXAMPLE: Correct 381.1.4B9(6); Incorrect 381.1.4.B.9.(6).)

(5) Text References. The system of reference numbering noted in the previous paragraph should be used when referring to manual paragraphs.

Page Footings.

(a) The bottom of the first page of the manual release will indicate the OPR. This information will be typed beginning approximately 1 1/2 inches from the bottom of the page flush with the left margin. Each page, after the first, will be consecutively numbered (to include the word "Page") approximately 1/2 inch from the bottom of the page, flush with the right margin. Succeeding pages will contain the date, the release and page numbers and supersession information, when appropriate. Blank pages will show page number only.

(D) The date and release number entries will be made by the DO.

(7) Paragraphs. The primary element of a chapter is the paragraph. Each paragraph is designated by an Arabic numeral followed by a period. Each paragraph should be identified by a subject caption typed two spaces after the period, in upper and lower case, underlined, and followed by a period. If the title is part of the first sentence, the period is omitted.

(a) Subparagraphs. Paragraphs may be divided into subparagraphs. Captions are optional for subparagraphs.

(b) Length of Paragraphs. Limit paragraphs to 10 lines or less. Reorganize material, if necessary, to shorten complex paragraphs. Use subparagraphs to break long paragraphs.

(c) Splitting Units of Text. At least two lines of a divided paragraph will appear on each page. When dividing a sentence between pages, at least two words of that sentence will appear on each page. A word will not be divided between two pages.

(d) Subdivided Paragraphs. A paragraph will not be subdivided unless there are two or more subdivisions of the same paragraph. For example: if there is an "A," there must also be a "B." If there is a "(1)," there must also be a "(2)," and so on.

C. Special Formats. Material not suitable for inclusion in the text, or which supplements the text, may be added in special formats. Special formats are more frequently found in handbooks and are described in 2B of this chapter.

D. Glossary. A glossary of terms is inserted at the end of a manual chapter if more than 10 words must be defined. The glossary is identified as an appendix and titled "Glossary." Words included in the glossary are placed in alphabetical order.

E. Footnotes. A footnote is a note of explanation or comment placed at the bottom of a page of a text. It is separated from the rest of the material on the page by a 1-inch underscore, with one or more blank lines above the underscore and one blank line below it. The footnote is single spaced and will appear in its entirety on the same page where its symbol appears. Footnotes in text are indicated by placing an Arabic numeral immediately following the word. (EXAMPLE: . . . author.1/)

2. Handbooks. Handbooks contain instructions and procedures that are applicable to general use. Handbooks provide technical and detailed instructions or information on specific activities which expand upon general policies and procedures stated in the

manual. They are controlled, published, and distributed through the DO. They require a Transmittal Sheet summarizing the purpose of the handbook (see 3.1A). The following guidelines apply to handbooks:

A. Format.

(1) Cover. Handbooks require front and back covers. The standard color is blue. For format, see the cover of this handbook. The OPR is responsible for preparation of the cover.

(2) Foreword. Handbooks will contain a foreword which explains the purpose for the handbook and identifies the manual to which it relates, and reflects the signature of the authorizing official.

(3) Table of Contents. Handbooks contain a table of contents, which is prepared after all other parts of the release have been completed. The headings must be exactly the same as those in the text. Charts, maps, illustrations, and appendixes are listed by number and title. See the table of contents of this handbook for an example of the proper format.

(4) Chapters. Subdivide handbooks into chapters. Chapters are titled and bear consecutive Arabic numerals beginning with "1." (EXAMPLE: CHAPTER 1. GENERAL INFORMATION.) Each new chapter will begin on a new page, and paragraphs within chapters will be numbered with consecutive Arabic numerals beginning with "1."

(5) Paragraphs. For guidance on format see 1B(7) of this chapter.

(6) Sequence of Components.

- (a) Front Cover
- (b) Foreword
- (c) Table of Contents
- (d) Chapter and Special Formats
- (e) Back Cover

B. Special Formats. Material not suitable for inclusion in the text or which supplements the text may be printed in special formats in the order described below. Special formats should not contain responsibilities or procedures except as they may illustrate what has been explained in the text. Titles are applied as reflected on the illustrations in this handbook.

(1) Charts. Whenever any material which graphically illustrates the organization of an MMS function is added to a

chapter, it will be labeled as a "Chart" and identified by part and chapter in the upper right corner. For example:

MMSM 418.1-H
Chapter 1
Chart

(2) Maps. Whenever any material which illustrates a geographic area is added to a chapter, it will be labeled as a "Map" and identified by part and chapter in the upper right corner. For example:

MMSM 203.1-H
Chapter 1
Map

(3) Illustrations. Whenever any material which illustrates how something should be done is added to a chapter and referenced in the text (how a form is filled out, letter formats, etc.), it will be labeled as an "Illustration" and identified by part and chapter in the upper right corner. For example:

MMSM 381.2-H
Chapter 2
Illustration 1

(For more than one illustration, see 2C of this chapter.) If an illustration consists of less than a half page, it may be placed within the text framed; it will not be numbered or designated as an illustration.

(4) Forms. Samples of blank forms generally will not be shown in the MMSM. They should be referenced in the text and the important entries described. Forms should only be shown if necessary to illustrate how they are filled out. In such cases, they should be referred to as "Illustrations." If the form described is not a Standard or Optional Form (SF, OF) or a Department or MMS form that is readily available, the text should state where copies may be obtained.

(5) Appendixes. Whenever a list of items or similar material referenced in the text is added to a chapter (glossary, administrative reports, copies of or extracts from other Agency

directives, etc.), it will be labeled "Appendix" and be identified by part and chapter in the upper right corner. For example:

MMSM 370.2-H
 Chapter 3
 Appendix 1

C. Numbering of Special Formats. Whenever more than one chart, map, illustration, or appendix is added to a chapter, it will be numbered consecutively and identified by part and chapter in the upper right corner. For example:

MMSM 626.3-H
 Chapter 6
 Appendix 1

MMSM 626.3-H
 Chapter 6
 Appendix 2

D. Footnotes. Footnotes are treated the same for handbooks as for manual releases. The format for footnotes is discussed in 1E of this chapter.

E. Index. Develop an alphabetical index if there is a need. The index is placed last in the handbook and is listed on the table of contents. Pages will be numbered, centered at the bottom with the number in parentheses. (EXAMPLE: (1))

F. Typing Guidelines for Text.

(1) Paper. Use 8 1/2 x 11 bond paper.

(2) Margins. Start typing page headings on the seventh line from the top of the page. Leave a 1-inch margin on each side and the bottom.

(3) Typing Font. For uniformity in the MMSM, handbooks should be in one style and size of type, preferably Courier 10, set at 10-pitch.

(4) Paragraph Headings. Arabic-numbered main paragraphs will have headings written in capital and lower case letters with all principal words capitalized including parts of compounds which would be capitalized standing alone. Headings will be underscored, beginning under the first letter of the heading and ending under the last letter. Headings may also be used for subparagraphs, but, when this is done, headings must be

used consistently within the main paragraph and, if practicable, throughout the handbook.

(5) Page Headings. Each page heading identifies the handbook title, flush with the left margin, and the part and chapter number flush with the right margin. See the heading at the top of this page. Special formats reflect the handbook citation, chapter number, and special format name and number as shown in the upper right margin in Illustration 2 to this chapter. Continuation sheets should be indicated as (Continued) on the last line of special format headings.

(6) Page Numbers. Page numbers appear approximately 1/2 inch from the bottom of the page flush with the right margin, except for index pages see 2E.

(a) Preliminary Pages of a Handbook. The Foreword is unnumbered; the table of contents is numbered, starting with the second page in small Roman numerals. See table of contents of this handbook.

(b) Chapter pages of a handbook are numbered with two-part Arabic numerals, the first digit of which indicates the chapter, the second, the page number. Thus, the first page of chapter 1 is page 1-1, the second page is 1-2, and so on to the end of the first chapter. The first page of the second chapter is page 2-1, the second is 2-2. This method of page numbering continues throughout the directive. Blank pages will be numbered consecutive with their respective chapter.

(c) Special formats will be numbered using this method; however, the first page of each will be printed as a front facing sheet. First-page numbering will always reflect an uneven number. (EXAMPLE: 3-9, 3-11, etc.)

(7) OPR, Release Number, and Date. Type the title of the OPR on the bottom left of only the first page of the first chapter of the handbook. Succeeding pages will contain the page and release number, the date, and supercession information when appropriate. The page number and supercession line are typed by the OPR. The release number and date are entered by the DO after signature. Blank pages will show page numbers only.

3. Field Office Supplements (FOS's). Supplements have the same basic format and are prepared in the same manner as the manual, handbook, or IPD which they supplement. They are numbered to correspond to the part and chapter number in the directive to which the supplement relates, followed by the suffix "S." Supplements are printed on yellow paper. Supplements will have the same duration as the basic directive. A copy of all supplements will be sent to the DO through the DLO within 30 days of issuance.

The following information is centered at the top of the page (use applicable Form MMS-2000 or MMS-2001) as illustrated:

(Name of) Region or Office Supplement

4. Interim Policy Documents (IPD's). All IPD's will be prepared using the same format as for a manual release with the following exceptions:

A. Paper. Use Forms MMS-2001 or -2001A (see Illustration 3) for the first page. (The Form MMS-2001A is for use with laser printers.) All other pages are typed on plain bond. After signature, the IPD's will be reproduced on pink paper.

B. Identification Line. The sequential identification number, the date, and the title will be assigned by and typed on by the DO after the IPD is signed. Suggested wording for the title may be provided by the OPR.

C. References. If the IPD relates to a specific manual release or handbook, the IPD must contain a reference paragraph. The reference paragraph is discussed in chapter 2, 4D.

D. Margins. Margins are set 1 inch on each side. The name of the OPR will be typed approximately 1 1/2 inches from the bottom of the first page.

E. Signature Line. The name of the person authorized to sign is typed six lines below the last line of the IPD. The name should appear as authorized for correspondence.

F. Cancellation. An IPD has a lifespan of not more than 1 year, and the cancellation paragraph is the last paragraph of each IPD. Following the paragraph number and the word "Cancellation" this paragraph will read: "This IPD is canceled 1 year from date of issuance." An IPD may also be canceled upon completion of a specified action or event or by incorporation into the manual or handbook, if either occurs before the expiration of a year.

G. Special Formats. Material not suitable for inclusion in the text, or which supplements the text, may be added in special formats. Special formats are more frequently found in handbooks and are described in 2B of this chapter. Label the special format as appropriate according to the descriptions in 2B. Where the special format is preceded by a blank page, that blank page will be numbered.

SAMPLE TRANSMITTAL SHEET

DEPARTMENT OF THE INTERIOR
 MINERALS MANAGEMENT SERVICE MANUAL

TRANSMITTAL SHEET

① _____
 (Release Number) _____ (Date)

② SUBJECT: Administrative Series
 Part 381 Origination of Records and Information
 Chapter 1 Directives Management

EXPLANATION OF MATERIAL TRANSMITTED:

③ This chapter and handbook describe the Minerals Management Service (MMS) Directives System; establish responsibilities and procedures for issuing policies and procedures; and provide instructions and standards for approving, publishing, distributing, and maintaining MMS directives.

④ REPORTS REQUIRED: If applicable.

⑤ EFFECTIVE DATE: If applicable.

⑥ Director

SAMPLE

FILING INSTRUCTIONS:

⑦ REMOVE:		INSERT:
<u>Part</u> <u>Chapter</u> <u>Pages</u> <u>Release</u>		<u>Part</u> <u>Chapter</u> <u>Pages</u> <u>Release</u>
381 1 1-6 01		381 1 1-7 ①

Handbook:

None

Handbook:

MMSM 381.1-H
 Preparing and Publishing
 Directives (The
 be filed separately in
 basic manual.)

⑧ OPR: Records Management Section
 Administrative Management and Analysis Branch
 Financial and Administrative Management Division
 Office of Administration
 Office of Management and Budget

INSTRUCTIONS

- ① The release number and date of signature will be entered by the DO after the release has been signed.
- ② Subject identifies series, part, and chapter affected.
- ③ This is a brief summary of the contents of the release.
- ④ If the release requires the submission of a report, give the title of the report, text reference, and frequency of submission.
- ⑤ Enter effective date if different from date of signature.
- ⑥ Type the title of approving official on the sixth line below the last entry.
- ⑦ Type filing instructions: where only a handbook is affected, list all the part information and enter the word "none" under it, followed below by the handbook information.
- ⑧ Type the OPR.

SAMPLE IPD

DEPARTMENT OF THE INTERIOR
**MINERALS MANAGEMENT SERVICE
INTERIM POLICY DOCUMENT**

① (Release Number) (Title) (Date)

② 1. Purpose. To provide recent changes in Minerals Management Service (MMS) travel regulations and policies.

③ 2. Reference. The Minerals Management Service Manual (MMSM) 456.9.

3. Policy. It is the policy of MMS to provide reimbursement for training within the same commuting area.

4. Procedures. For training within the same commuting area, an employee may be reimbursed mileage from his residence to a training site with no deduction for mileage normally traveled between his residence and duty station. For example, when an employee is required to attend a training class in Washington, D.C., and his duty station is Reston, Virginia, the employee may claim reimbursement for mileage from his residence to Washington with no deduction for the mileage he normally commutes to work. This applies only if the employee travels from his residence to Reston, works part of the day, and then travel to Washington, he may claim only the mileage from Reston to Washington.

④ 5. Cancellation. This IPD is canceled 1 year from date of issuance.

⑤ (Name)
Associate Director for
Management and Budget

⑥ OPR: Financial Policy and Operations Branch
Financial and Administrative Management Div
Office of Administration
Office of Management and Budget

INSTRUCTIONS

- ① The release number, title, and date will be entered by the DO after the release has been signed.
- ② Each IPD must contain a purpose paragraph.
- ③ If the IPD relates to a specific manual release or handbook, the appropriate directive number will be noted in a reference paragraph.
- ④ In the cancellation paragraph, state: "This IPD is canceled 1 year from date of issuance, or word accordingly if a canceling action is to occur before the year is up.
- ⑤ The name of the person authorized to sign the IPD is typed six lines below the last line of the IPD, followed by his/her title.
- ⑥ Enter the OPR.

CHAPTER 4. PROCESSING

1. Proposed MMS Directives. Directives will be prepared by the OPR in the correct format (see chapter 3), ready for publication. Throughout the informal clearance process, the front page of the directive and the Transmittal Sheet will be clearly marked "DRAFT."

2. Reviewers of Directives. Before final approval and signature, each directive must be reviewed by appropriate officials (identified by the OPR, DLO, or DO) who may have a direct interest in the proposed directive for one or more of the following reasons:

A. Programs or functions for which they are responsible could be materially affected by the adoption of the proposed policy and procedure.

B. They are technical authorities on the subject.

C. They are administratively or legally responsible for making a review.

3. Review Standards. Directives are reviewed and approved by appropriate officials to ensure that they:

A. Adequately, accurately, and clearly cover the subject matter.

B. Are consistent with existing policy and are devoid of statements which conflict with functions and responsibilities which are assigned elsewhere.

C. Represent the most efficient and effective means of accomplishing desired objectives.

4. Clearance, Approval, Reproduction, and Distribution.

A. Manual, Handbooks, and Interim Policy Documents (IPD's).

(1) Informal Coordination. The person writing the directive may informally circulate the proposed directive and exchange comments and suggestions with individuals whose operations are affected before submitting it for formal approval. The writer should conduct discussions with affected offices at a high enough level to obtain preliminary agreement to the proposed policies and procedures. This will expedite clearance, but it does not constitute final clearance and approval. When appropriate, select a sample of users to review proposed directives in advance of formal clearance.

(2) Formal Clearance. The formal clearance process for manual chapters and handbooks is outlined in Illustration 1. See Illustration 3 for the formal clearance process for IPD's.

(a) The OPR will submit the proposed directive and all background material to the DLO.

(b) The DLO will submit the proposed directive to the appropriate clearance official as listed in the MMSM 381.1.6A for clearance. After clearance by OPR officials, the directive will be forwarded to other clearance officials concurrently. The directive will be transmitted by a Clearance Record, Form DI-228. See Illustration 2.

(i) The Associate Director for Management and Budget and the Associate Director for Policy and Planning are standard reviewing officials for proposed manual chapters (see MMSM 381.1.6); the Associate Director for Management and Budget is the standard reviewing official for IPD's. The DLO will provide courtesy copies (a direct transmittal) to the Management Analysis Section, Financial and Administrative Management Division, and to the DO, which will hasten the review process. Mark them "Information Copy." Other reviewing officials are determined by the OPR based upon the program or functional impact of a directive. The DLO will determine the due date for comments. Comments must be received by the OPR by the due date, or concurrence will be presumed and the directive will be forwarded for final approval. Reviewers will be allowed 20 days for review/concurrence of proposed manual chapters and handbooks and 3 days for IPD's.

(ii) The DLO and the OPR will review the comments from the clearing officials and will reconcile any differences. The OPR will prepare a comments analysis sheet (CAS) describing the issues or comments received and the action taken. The CAS is prepared for informational purposes for the approving official. Copies may be obtained by contacting the OPR or the DO. See Illustration 4.

(iii) The OPR will proofread the directive for conformance with formats specified in this handbook, spelling, and other punctuation and grammar considerations.

(iv) The DLO will forward all documents, including clearance records, comments from clearing officials, and the CAS, to the DO.

(c) The DO will review the proposed directive to ensure compliance with the requirements in MMSM 381.1 and in this handbook.

(3) Final Approval.

(a) The proposed directive in its final form, clearance records, Transmittal Sheet, clearing officials comments

and CAS will be submitted by the DO for final approval to the authorized official designated in MMSM 381.1.

(b) The approving official will sign the Transmittal Sheets of manual chapters and handbooks, or above the name on an IPD and on the Foreword of a handbook. The approved directive is then returned to the DO.

(4) Reproduction. The DO will submit the directive for reproduction.

(5) Distribution.

(a) Specifying Directive Requirements. All supervisory officials, including field office supervisors, are responsible for determining and specifying the manual chapters, handbooks, and IPD's required for their offices. Only those directives necessary for the effective operation of an office should be maintained.

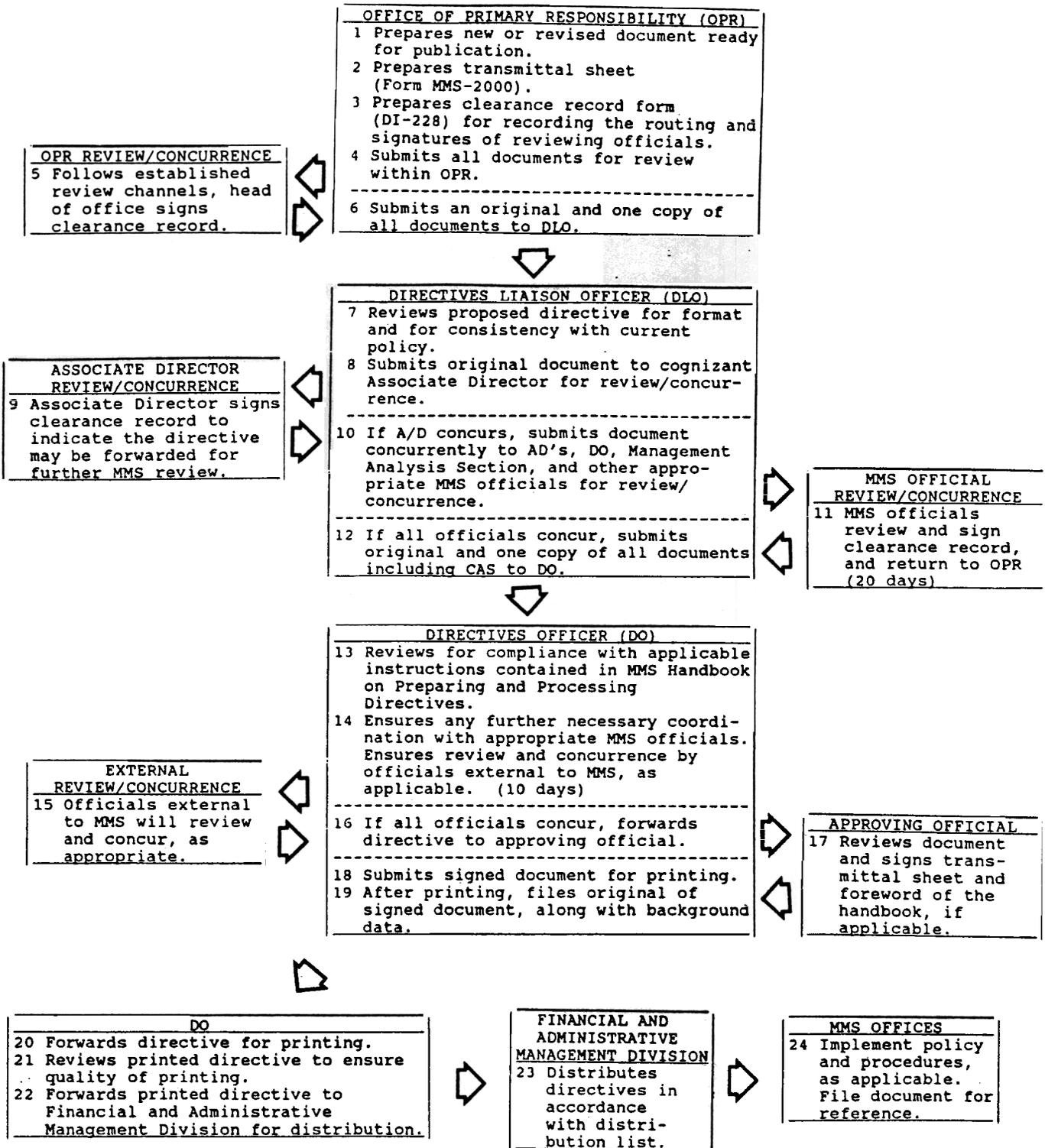
(b) Distribution Lists. The Safety and Facilities Management Section, Financial and Administrative Management Division, is responsible for the timely distribution of MMS directives. No other organizational element will distribute directives except designated field office personnel. (These designated personnel will distribute directives only within their areas of responsibility.) The DLO's provide the DO with up-to-date distribution lists annually. All officials requiring changes (additions or deletions) in distribution must submit requests in writing to the DO through the DLO.

(c) Extra Copies. Request extra copies of directives from the DLO or from the DO through the DLO.

(6) Maintaining MMSM. Individuals responsible for internal distribution and maintenance of the MMSM should be cognizant of all recipients and should ensure that it is complete and up to date. See chapter 6 for more specific instructions.

B. Field Office Supplements (FOS's). The Associate and Regional Directors, the Chiefs of the Offices of Congressional and Legislative Affairs, Public Affairs, and Equal Employment Opportunity, and the Administrative Service Center Managers are the approving officials for field office supplements within their respective areas of responsibility. Clearance, approval, reproduction, and distribution of FOS's will be as directed by each respective program or office. A copy of all field office supplements must be sent to the DO through the appropriate DLO within 30 days of issuance for inclusion in the MMSM directives file.

FORMAL CLEARANCE FLOW CHART FOR
 MANUAL CHAPTERS AND HANDBOOKS



②

SAMPLE CLEARANCE RECORD

①	CLEARANCE RECORD <small>(SEE INSTRUCTIONS ON REVERSE)</small>	1. TYPE OF DOCUMENT MMS Manual Release	2. IDENTIFICATION NUMBER (If any) 381.1
3. SUBJECT/TITLE Administrative Series Directives Management <u>Origination of Records and Information</u>			
4. SUMMARY OF DOCUMENT CONTENTS (If a revision, give rationale for change) This chapter describes the MMS Directives System, establishes responsibilities, and prescribes procedures for implementation and maintenance.			
Due date for comments/concurrence: (20 working days)			
5. ORIGINATOR		TELEPHONE NUMBER	DATE
ORGANIZATION: Records Management Section Financial and Administrative Mgt. Div., Office of Administration		D. Christopher Chief, RMS 435-6213	3/31/89
6. CLEARANCES			
ROUTING SYMBOL CODE	ORGANIZATION AND TITLE	SIGNATURE	
632	Chief, Administrative Mgt. and Analysis Branch		
632	Chief, Financial and Administrative Mgt. Div.		
630	Directives Liaison Officer		
630	Deputy Associate Director for Administration		
XXX	Other Approving Officials as Appropriate		

632	Chief, Financial and Administrative Mgt. Div.		
632	Directives Officer		
630	Deputy Associate Director for Administration		
614	Associate Director for Management and Budget		
7. SIGNATURE INFORMATION			
NOTE: INDICATE BY STAMP THE NAME OF SIGNING OFFICIAL AND DATE SIGNED.		SIGNED BY ⑥	
8. FOR USE OF FINAL ACTION OFFICE			
AFTER SIGNATURE, RETURN TO Records Management Section			
FORM DI-228 (Rev 12-79)			

③

③

④

⑤

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⑥

INSTRUCTIONS

Detailed instructions for completing the form are on the reverse of the printed form.

Both formal review and signature stages are included on this Sample Clearance Record. One clearance sheet may be used depending on the number of reviewing officials. If necessary, use one clearance sheet for each stage of review. When simultaneous routing has occurred, the master Clearance Record may be annotated "see attached" in the signature block next to the title and the respective Clearance Record attached to the master.

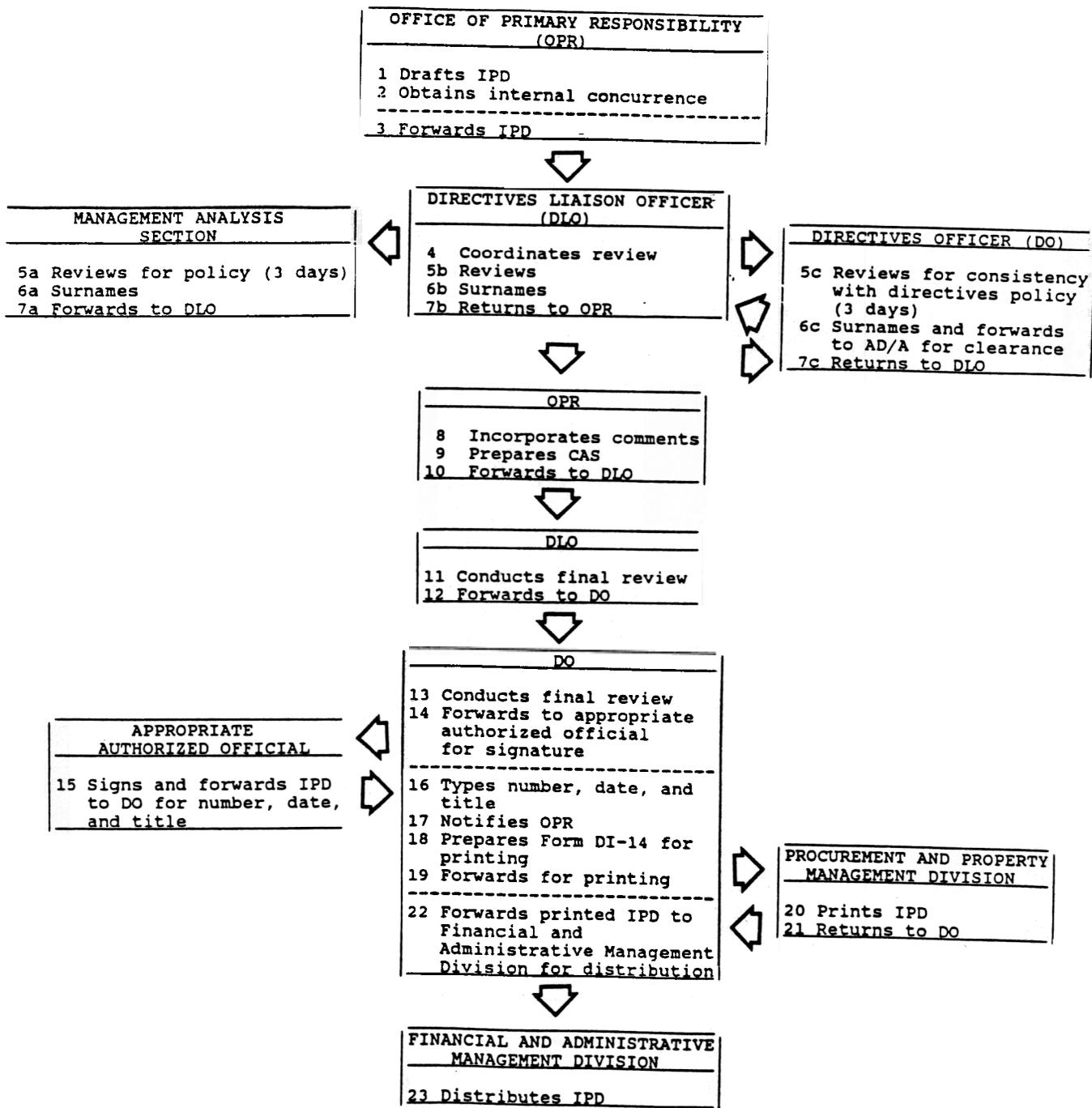
Comments and Clearance Record are to be returned to the OPR listed in block 5, Originator, by due date.

Officials listed give examples of formal review stage.

Officials listed give examples of signature stage. Note: The Directives Officer will always be listed regardless of where a directive originated.

The signing official's title is not typed in block 6, Clearances. Rather, block 7, Signature Information, is signed or stamped in the approving official's office after the directive has been signed.

INTERIM POLICY DOCUMENT
FLOW CHART



SAMPLE COMMENTS ANALYSIS SHEET

SAMPLE

TITLE: (Directive)

COMMENTS ANALYSIS SHEET

Issues and Comments

Action Taken

Offshore:

- | | |
|--|---|
| 1. Refer to functional delegations also. | Accepted. |
| 2. Explain difference between "official" and "officer." | Official is a term for one who has general responsibilities of a position. Officer is one with responsibility for a specific function such as the Federal Register Liaison Officer. |
| 3. State responsibilities by title of official. | Accepted. |
| 4. State who may redelegate. | Not necessary. Anyone may redelegate unless the delegation is specifically limited. |
| 5. Explain limitations and how they should be addressed in a memorandum by those who redelegate. | Cannot know the limitations of each situation. Those who redelegate have the responsibility for determining limitations under paragraph 8. |

CHAPTER 5. REVISION AND REVALIDATION

1. Revisions to the Manual or Handbook. A Transmittal Sheet (accompanied by manual or handbook pages or which describes pen and ink changes) is the only means by which existing manual chapters and handbooks can be changed. Revise these releases using the following methods:

A. Minor Revisions. Issue substitute pages to incorporate new or revised material when less than 40 percent of the existing pages must be changed. Recipients insert revised pages into their manual and remove those pages that are superseded. When issuing pages to revise a handbook, issue a revised table of contents and index (if any) to reflect changes in the text, if the revision requires their change.

(1) Change Indicators. Use black arrows as change indicators on each newly revised page. Place arrows two spaces to the left or right of the text, in the margins, as shown in Illustration 1.

(a) If a revision involves a single line, paragraph, or page, place an arrow in the margins. The arrow in the left margin should point to the beginning of the revised material and the arrow in the right margin should point to the end.

(b) If a heading is being added or revised, use arrows in the table of contents. Place the arrows in each margin, pointing to the change. Use the same method to indicate an added or revised chart, map, illustration, or appendix.

(2) Additional Pages. If an additional page is needed for a revision in the text of a directive, the OPR can adjust the page numbers by adding a letter to the added page. For example, page 12, 13, 14, 14a, 14b, 14c, 15, etc. The pages are renumbered the first time the directive is completely revised.

(3) Revised Dates. When a directive is completely revised, or individual pages are revised, the date on which the revision is approved is entered by the DO on the affected page(s). "Supersedes Release No. XX" must be placed by the OPR on the same line as the page number to indicate that the directive has been revised. See Illustration 2, chapter 3.

(4) Pen-and-Ink Changes. Limit pen-and-ink changes. Making changes by having the recipients of directives write in the changes is almost always more costly than changing existing pages. More time may be spent writing in changes than would be required to remove old pages and insert new pages. Pen-and-ink changes are issued by a Transmittal Sheet.

B. Major Revisions. Completely revise and reissue the directive when:

- (1) The existing directive is four pages or less; or
- (2) Forty percent or more of the existing directive be revised to incorporate new or revised material.

2. Field Office Supplements (FOS's) may be revised in a manner similar to revisions to a manual or handbook. When a basic manual, handbook, or IPD is revised, the field office supplement should be reviewed for consistency. Supplements will not be used to revise a directive; they should only be used to provide additional instructions necessary for unique local conditions.

3. Interim Policy Documents (IPD's). If an IPD requires revision, cancel it and issue a new IPD. An IPD may be superseded only once by another IPD. When reissuing an IPD verbatim, this may be done by pen-and-ink change on a Transmittal Sheet.

4. Coordination and Clearance of Revisions. In addition to preparing the revised pages, the OPR should prepare a modified copy of the prior release. The modified copy will have changes written in, deleted material lined out, and otherwise marked to enable reviewers to see precisely what changes have been made. Revisions to existing directives will follow the clearance and approval procedures described in chapter 4.

5. Issuance of Revisions. Revised pages of manual chapters and handbooks are distributed by Transmittal Sheets that contain an explanation of the material transmitted and instructions for the removal of superseded pages, pen-and-ink changes required, if any, and the insertion of new or revised pages.

6. Revalidation. The OPR's are required to review annually, for currency, the directives for which they are responsible. This review will be requested by the DO through the DLO. A special review may be requested at other times if circumstances dictate a need. Examples might be a low stock level of the directive which is about to be reproduced or functional realignments which require a change in existing directives.

MARKING ADDITIONS AND REVISIONS

1. Xxxxxx. XXXXXXXX XX
 XXXX XX XXXXX XX XXXX
 XXXX XXX XXX, XXXXX
 XXXX XXX XXXX XXXXXX
 XXX XXXXXXXXXXX XXXX XX
 XXXXXXXXXXXX XXX XX XXXX
 XXXXXXXXXXXXXXXXXXXX.

2. XXXXXXXXXX. XXXXX XXXX
 XXXX XXX XXXXXXXXXXXXX
 XXX XX XXXXXX XXXX XXX
 XXXXXXXXXXX XXXXX XXXXXXXX
 XXX X XXXXXXXXXXXXXXX XXX
 XXXXX XXXXX X XXXX XX
 XXXXXXX XXX XXXXXXXX XX
 XX XXXX XXX.

For a revised word.

1. XXXXXXXXXX. Xx xxxxxx
 XXXX XXXX XXXX XXXX
 XXXX XXX XXXX XX XX
 XXX XXXX. XXXXX XXX
 XXXXXXXXXXXX XXXX XX
 XXXXXXXXXXXX XX X XXX
 XXXXXXXXXXX XXXX XXXXX.

2. XXXXX XXXX. Xx xxxxxx
 XX XXXXXXX XXXXX
 XXXXXXXXXXXXXXX XXXX XX
 X XXX XXXX XX XXXXX
 XXX XXXXXXX XXX
 XXXXXX XX. XXX XXXXX
 XXXX XX XX XXXXXXXX
 XXXXXXXXXXX XXX XXXXX.

For a revised sentence or paragraph.

Table of Contents

1. XXXXXXX

2. XXXXXXXXXXX

3. XXXXXXXXXXX

4. XXXXX XXXXXXXX

5. XXXXXXX

6. XXXXXX XXXXX
 A. XXXXXXXXXXX
 (1) Xxx XXXXX
 (2) XXXXX XXXXXXX

B. XXXXXXX XXXXX

C. Xxx Xxx Xxxx

7. XXXXXXXXXXX XXXXX
 A. XXXX Xxx XXXX
 B. XXXXXXXXXXX

For a revised heading in the Table of Contents.
 NOTE: Use arrows in the table of contents only if the heading has been changed or new sections added.

1. XXXXXXXXXX. XXXXX
 XXXXXXX XXXX XXXX XX
 XXXXXXXXXXX XXX XX XXXX
 XXXXXX XXX XXXXX XX
 XXXX XXXX XXX.

2. XXXXXXXXXXXX. XXXX
 XXXXXXXXXXXXXXX XXXXXXX
 X XXX XXXXXXXXXXX XXX
 XXXX XXXXXXXXXXX. XXX
 XXXXX XXXXXX XXXXXXX
 XX XXX XXXX XXXXX
 XXXX XXX XXXXXXXXXXX
 XX XXXXXXXXXXX XXX
 XXXXX XXXX XXX XX XXX.

For a revised page.
 NOTE: Do not use arrow indicators on each page if an entire chapter is being re-issued. The statement on the Transmittal Sheet will suffice.

CHAPTER 6. MAINTENANCE

1. Basic Manual.

A. Manual Binders. Manual releases are distributed as loose-leaf pages which are inserted in a standard size three-ring binder. Directives may be separated into primary subject classifications by tabbed dividers. The divider sheets should be of heavier stock than the directive. The tab for each divider includes the primary subject classification number and the key words.

B. Filing. Each manual page has a reference number in the upper right corner which indicates where that page should be located in the manual. These numbers are derived from the number of the paragraph which continues on that page. Filing instructions are printed on the Transmittal Sheet which accompanies all manual pages when they are distributed. Additions to the FPM, FPR, and FPMR may be filed (and distributed) separately from the basic manual. Transmittal Sheets are filed separately from the reference set, or they may be discarded.

2. Handbooks. Handbooks are the procedural part of the parent directive (basic manual). They are distributed separately because of their length and because they are used more frequently than the parent directive. Therefore, handbooks may be maintained apart from the manual reference sets. Handbooks will be loose-leaf so that revised pages can be removed and new pages inserted. Revised materials are filed according to instructions provided on the Transmittal Sheet. An office which requires only one reference set of the MMSM may need multiple copies of handbooks.

3. Interim Policy Documents (IPD's). File IPD's together in a single binder. Separate each calendar year series. File in reverse numerical order (i.e., highest numbered IPD filed in front). If an IPD relates to an existing manual release or handbook, note IPD number in the applicable manual chapter or handbook.

4. Maintaining the MMS Directives System.

A. Table of Contents and Checklist and Index. Annually, the DO will prepare and issue table of contents and checklist and index to holders of MMS directives. These updates list all current directives, indicating the directive numeric identifier, the issue date, the OPR, and, in the case of IPD's, the expiration date. Each office that receives directives and maintains a reference set of directives, will compare the directives that they have on file with the checklist to ensure currency of directives. If the reference set is missing any directives on the checklist, the office will request a copy from the DLO or from the DO through the DLO. Each checklist is cumulative and supersedes all previous editions. The table of contents and checklist and the index, will be filed in the front of the first binder of each reference set.

B. Background or Historical Files. The DO will establish a permanent historical file of internal directives issued by MMS (except field office supplements). Each file will consist of the signed original of the directive issued, each version that was sent out for clearance, significant working papers, all clearance sheets, and notations of regulatory source material. The DO will maintain the archival collection of directives.

C. Master Set of Current Directives. The DO will maintain a complete set of current internal directives separate from the background or historical files. This complete set constitutes the official record copy and source of internal directives.

5. Offices Receiving Directives. A specific individual will be designated by an office to maintain the directives in a current state.